IS Process Documentation

IS PLT Engagement Model

Version 1.0, Updated: 5/31/2021

Contents

Introduction

This document describes the engagement model ("model") for interacting with the Process Leadership Team ("PLT") to develop or modify cross-functional processes within IS.

Process Owner (document author)

IS Strategy & Planning (Mark Dattoli)

Audience

Owners of IS processes

Related Policies

Owners of cross-functional processes need to follow this model to implement changes.

Scope

This model is applicable to all processes that affect multiple groups within IS. Procedures that are local to a single group do not fall within this framework.

Purpose

- To ensure processes are implemented right the first time, that they are regularly measured for effectiveness, and that they are kept updated.
- To ensure consistency of process documentation and communications.
- To ensure all currently active process-development teams work in concert.

Quality Control

- Each proposed process change is reviewed by the PLT and merged into the existing Roadmap.
- SMEs are used to draft process changes to ensure that they are sound and practical.
- Training and coaching of process developers is provided as needed.
- Multiple review types are used to ensure the quality of the products.

Enforcement

No process will be placed on the “Process Central” index unless it follows this engagement model.

Change Control

Proposed changes to this model may be submitted to Mark Dattoli.

When this Process is Used

Determining Project Impact

The following worksheet is used to the assess the degree of impact for a specific process change.* (from OD Resources, Atlanta, GA)

Factor	Description	Rating None: 0 points	Low: 1 point	Med: 2 points	High: 3 points
Amount	The number of alterations required by the change				
Scope	The range or span of the organization affected by the change				
Time	The amount of time the target audience has to implement the change				
Transfer-ability	The degree to which the change is easy to communicate and will be understood by the target audience				
Predict-ability	How well the target audience can accurately predict the effect of the change on them				
Ability	The degree to which the target audience feels they have or can attain the knowledge and skill necessary to implement the change				
Willingness	How motivated the targets are to implement the change				
Values	The degree to which the targets must change some of their strongly-held beliefs about the way they are operating				
Emotions	The extent to which the change requires targets to feel differently about people or operating procedures				
Knowledge	The degree to which the change requires targets to learn new information or view existing information differently than they have in the past				
Behaviors	The degree to which the change requires targets to modify their daily routine of job-related activities				
Logistics	The degree to which the change requires any significant alteration in the targets’ job procedures, such as scheduling, time management, or equipment utilization				
Economics	The degree to which the change requires targets to operate differently regarding budgets, expenses or funding				
Politics	The degree to which the targets must modify their current methods of influencing others, utilizing power, teamwork, dealing with territoriality, or protecting vested interests.				

* Note that the Impact Factor is a function of the targets’ perceptions of how a change will affect them, regardless of your assessment of objective reality.

Degree of Impact Legend:

0-15 points: Low Impact
16-30 points: Moderate Impact
31-42 points: High Impact

When to Engage the PLT

Low-impact projects typically might be those that codify the current state, makes only slight alterations to current work practices, current tools, or current roles and responsibilities. These do not require PLT support.

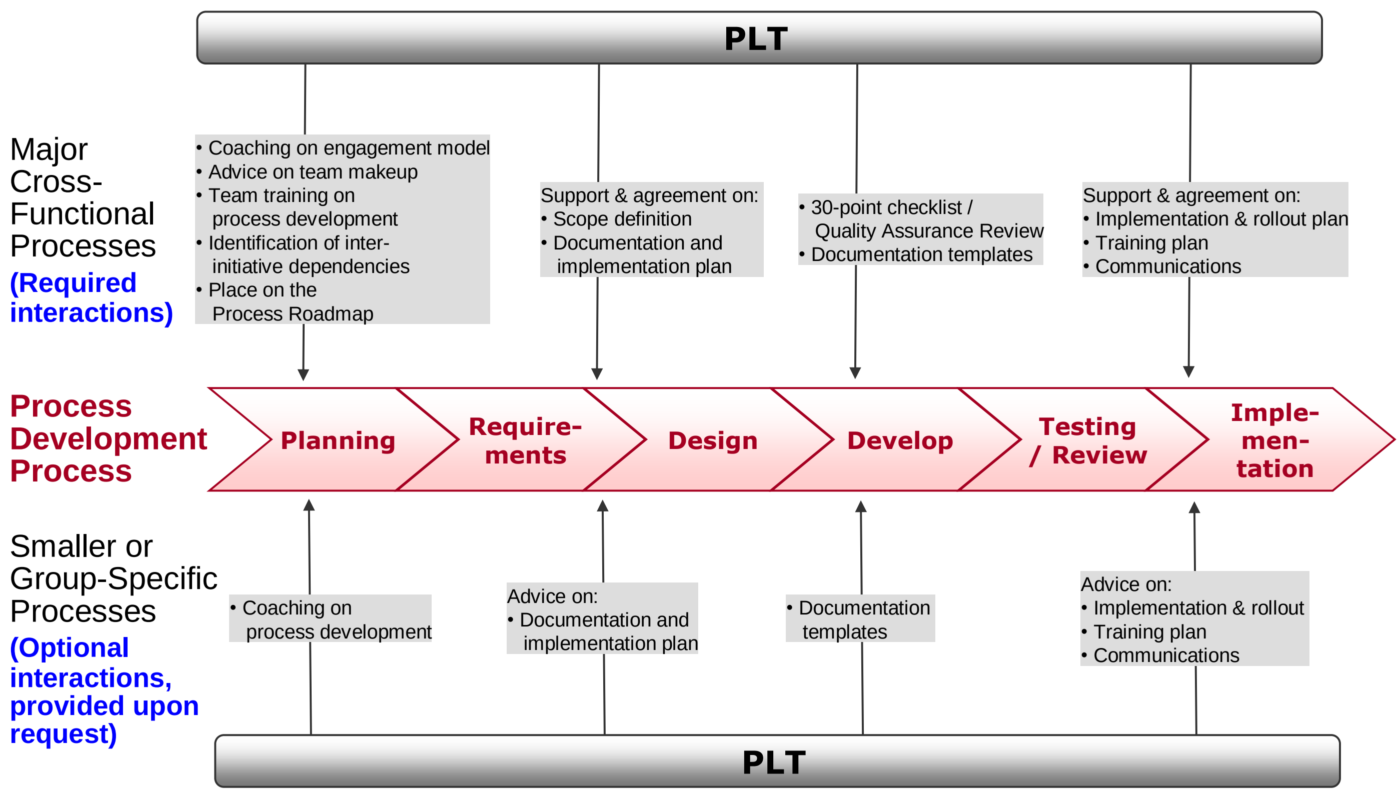
On the other hand, a project **must** engage the PLT and follow the process described in this document if:

- Its Impact Assessment score is above 15, or
- Its impact crosses multiple IS departments, or
- Training will be required to ensure the impacted audience can operate in the future state.

Note: any project that scores as a High Impact (over 20 points), ought to be re-assessed as to whether it is too risky to proceed without some adjustment to its scope, schedule, etc.

PLT Interactions Based on Project Impact

For moderate-to-high impact or cross-functional processes, the PLT **must be engaged** as shown in the top-half of the following diagram. The bottom-half shows, for lower-impact (or group-specific) processes, how the PLT **can** support a process development effort, when requested to do so.



Examples

The following are examples of process changes that would be expected to require PLT engagement:

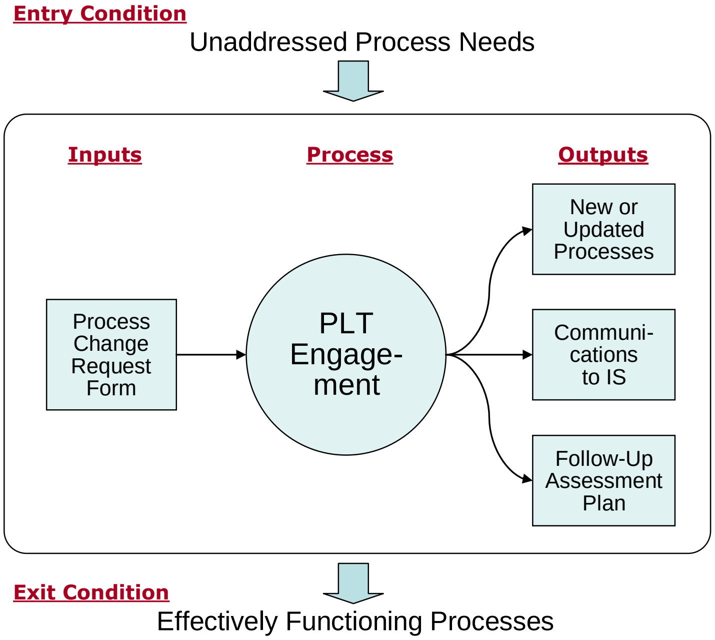
Defining the Project Initiation Process	Implementing a New Requirements Tool	Redefining the Hiring Process
Defining the Project Portfolio Mgmt Process	Implementing a New Time Reporting Process	A New Process for Upgrading the Network

The following are examples of changes that probably would not need the PLT:

Imaging a New PC	Updating the ROM Form	Implementing New Policies for Scheduling Meetings
Upgrading to a new C++ Compiler	Updating the Onboarding Checklist	

Process Summary

Overview Context Diagram



Entry Condition/Trigger

Identification of the need for a new or updated cross-functional process.

Inputs

- A “PLT Engagement Request” is submitted to a PLT member.

Outputs

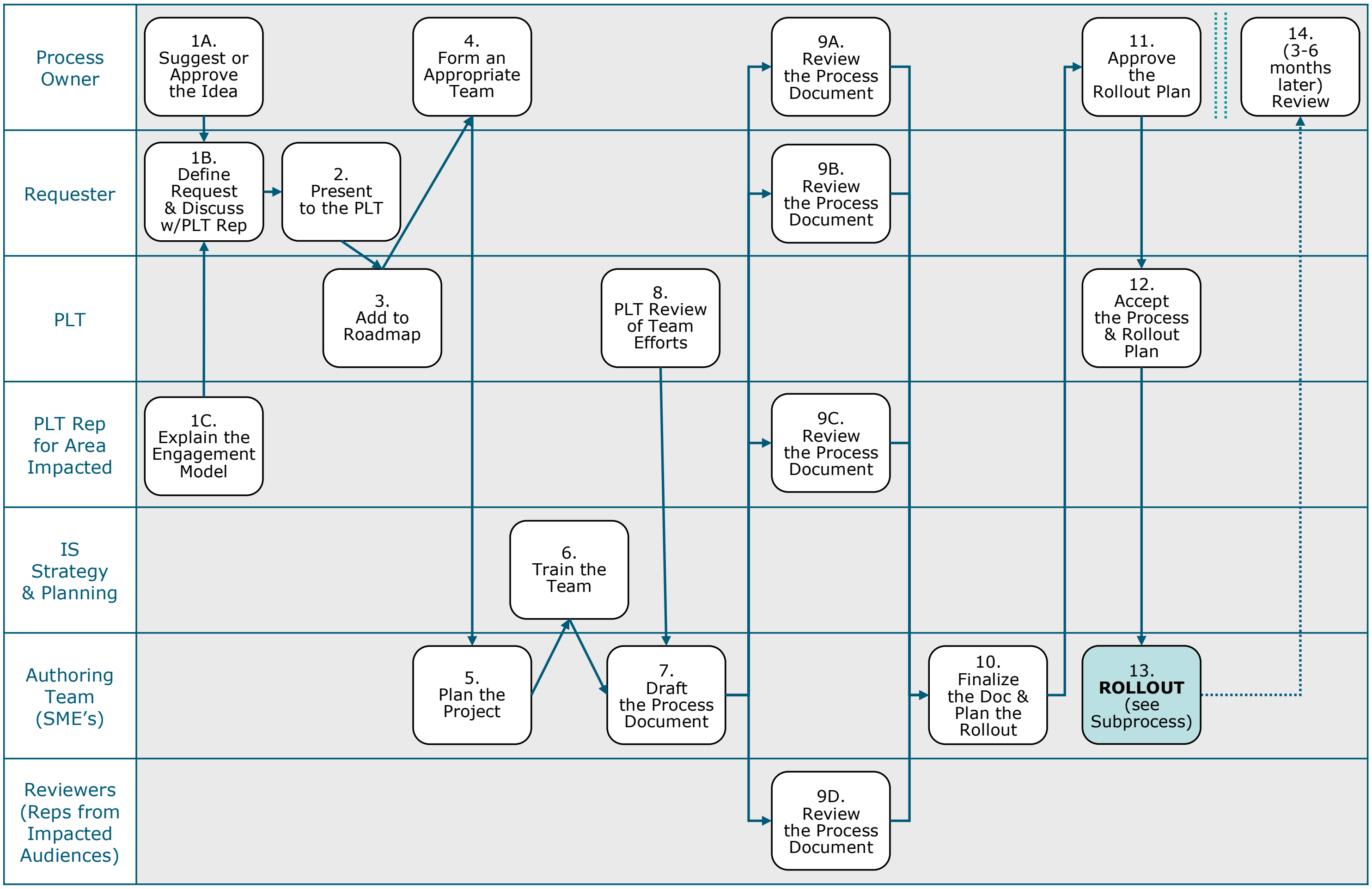
- New or updated process documentation, including forms, templates, indexes, etc.
- Announcements, training materials and events, and support if appropriate.
- A follow-up assessment plan to evaluate the effectiveness of updated processes at a later point in time.

Exit Condition/Success Criteria

An approved process is formally announced, properly published and fully implemented.

Process Description: PLT Engagement

Swim Lane Diagram



Roles & Responsibilities Matrix

Step:	Teams: Process Owner	Reques-ter	PLT	PLT Rep	IS Strateg y & Plng	Author-ing Team	Review-ers
1. A. Suggest or approve the idea	R						
B. Define the request		R		D			
C. Explain the Engagemt model				R			
2. Request hearing; present to PLT		R		A			
3. Add request to the Roadmap			R				
4. Form an appropriate team	R	D		D			
5. Plan the project	A			D, A		R	
6. Train the team					R	F	
7. Draft the process document	C	C		D, C		R	C
8. PLT review			R	D		A	
9. Review the process document	S	A		A		F	A
10. Finalize process & plan rollout	C			D, C	C	R	
11. Approve rollout plan	R			D			
12. Accept process & plan	C	C	R			C	

13. Rollout process (see details)						R	
14. Post-implementation review	R			D			

Responsibility Codes

R – Primary Responsibility
D – Discuss, Consult, Provide input to
A – Agree to
C – Copy (kept informed)
S – Sign off, Formally Approve
F – Facilitate

Process Narrative

1. A. The process owner suggests or approves the idea
   • The process owner may initiate a change or may respond to a request presented to them. Requesters who are not the process owner should not engage the PLT without first obtaining the owner's consent.
   B. The requester defines the request
   • The requester discusses the request with the appropriate PLT Rep and provides details of the request on the "PLT Engagement Request" form (see Appendix 1). This form defines what change is requested and preliminarily identifies who will be involved in the effort.
   C. The PLT Rep explains the Engagement Model
   • If this is the first time the requester has been through the model, the PLT Rep will explain it, and offer to provide any needed assistance as the requester proceeds through it.

2. Present to the PLT
   The requester will present the "PLT Engagement Request" form to the PLT. The PLT may make comments regarding the proposed team members and reviewers.

3. Add request to the Roadmap
   Unless the request is rejected or sent back for more research, the request will be added to the Roadmap. If the proposed implementation date conflicts with other initiatives on the Roadmap, it may require negotiation with the requester and/or process owner.

4. Form an appropriate team
   The appropriate process owner will finalize the members of the process development team, including the necessary SMEs. They will finalize what audiences will be impacted and which representatives from these audiences will review the process as it is developed.

5. Plan the project
   Unless the change is very small, it is expected that the authoring team will plan the initiative as a project, with its level of detail depending on the initiative size. For most process efforts, this might imply that a basic Work Breakdown Structure would be created with adequate resources committed, and that periodic status would be reported to the stakeholders and the PLT. Any project plan ought to consider using one of the approaches described in Appendix 3.

6. Train the team
   When the team is formed, if there are members on it that have never had training in process development, they will request ISS&P to provide such training for them, which ISS&P will schedule at a mutually-convenient time.

7. Draft the process document
   The team will draft the process documentation following the "Process Development Process" (which is expected to be written in the Spring of 2005). This process allows for alternative approaches, but in any case, it prescribes early and frequent reviews throughout the development process.

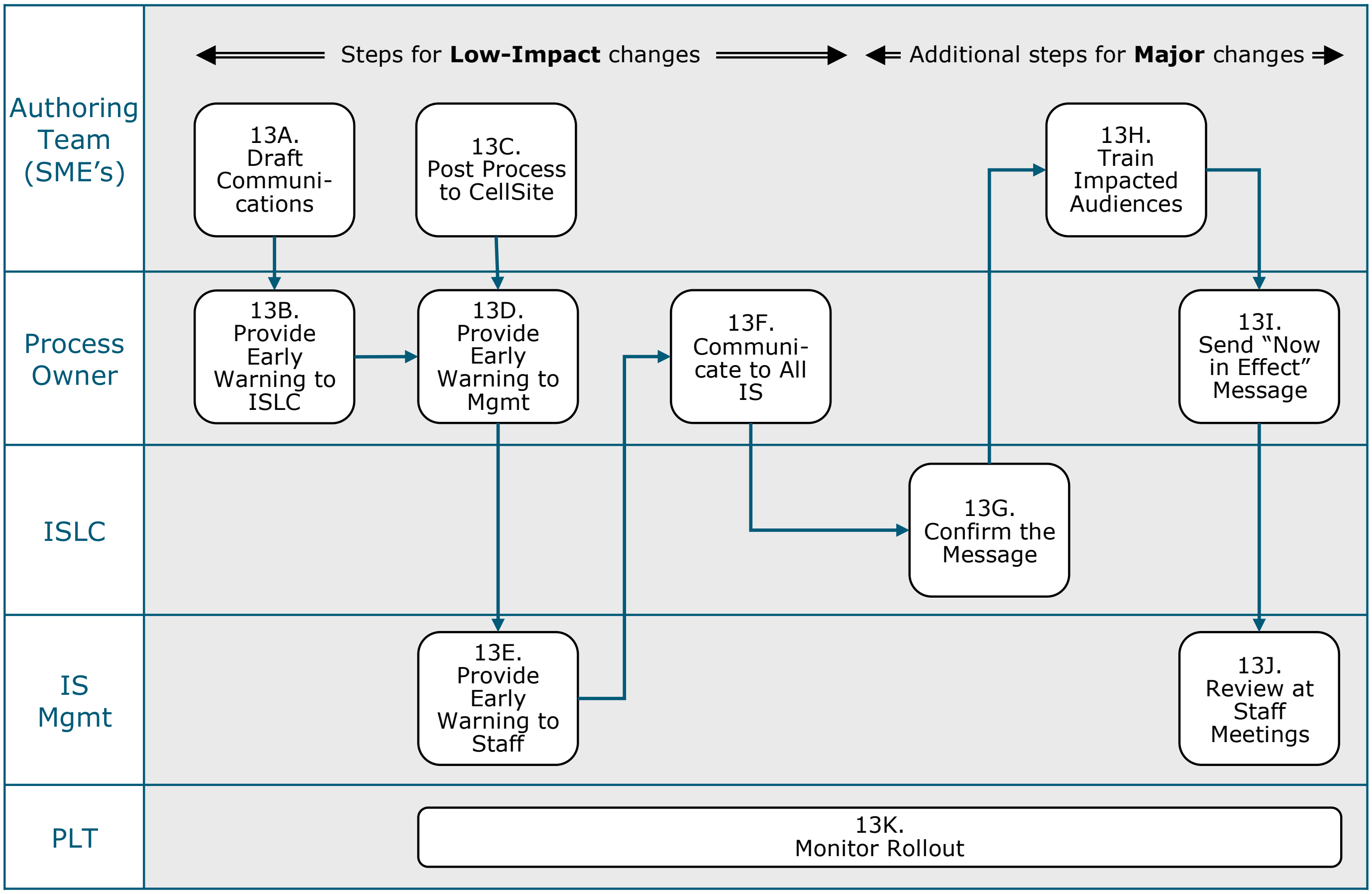
8. PLT to review the team development process
   At some point in the development process, the PLT will review the team's work. They will employ the 30-point "PLT Review Checklist" (see Appendix 5) that reviews how the development team is proceeding as well as the quality of deliverables being produced. The intent of this review is to ensure quality, prevent re-work, and manage interfaces with other processes. As such, it is intended to play a supportive role, rather than an adversarial one.
9. A, B, C, D. Review the process document
   Once the process documentation and its related materials (templates, etc.) are drafted, all identified reviewers will be given opportunity to provide feedback. Any audit, compliance or SOX review that may be needed would also occur in this step, if not done throughout the drafting of the process.
   In most cases, live walk-throughs are preferred over offline reviews.
10. Finalize the process doc, and plan the rollout
   After all the reviewers are satisfied with the proposed process and its artifacts, it is put into its final form and forwarded to the process owner, the PLT rep and to ISS&P. Planning for the rollout is done – See Appendix 6. This will include the development of training materials, determining the implementation date, and any technical setup that may need to be done. The team will also plan how the periodic review of the process will be done by the process owner (step 16).
11. Approve the rollout plan
   The process owner ultimately must approve the rollout plan.
12. Accept the process and rollout date
   The PLT will accept the date (or negotiate an alternative) and review the rollout plan. Any identified issues will be negotiated to a mutually satisfactory settlement.
13. Rollout the Process
   See the detailed Subprocess 13.
14. (3-6 months after the implementation) Review
   The process owner will review the compliance to and effectiveness of the process and report its finding back to the PLT. Any needed adjustments will be made, including possibly going back to Step 1 of this process.

Deliverables Matrix

Step	Deliverable	Preparer	Link	Review Process
1B	PLT Engagement Request Form	Requester	App. 1	PLT Rep supports completion of the form
3	IS Process Change Roadmap	PLT	App. 2	PLT manages updates to Roadmap
5	Project Plan	Auth. Team	App. 3	Process Owner and PLT Rep review
7	Process Documentation	Auth. Team	App. 4	Numerous reviewers; Process owner sign-off; Training and support on process development is available from IS Strategy & Planning
8	PLT Review Checklist	PLT	App. 5	NA
10	Rollout Plan	Auth. Team	App. 6	Process owner sign-off; PLT acceptance

Sub-Process Description: Rollout a Process Change

Swim Lane Diagram



Roles & Responsibilities Matrix

	Teams				
Step:	Authoring Team	Process Owner	ISLC	IS Mgmt	PLT
13A. Draft communications	R	A			C
13B. Provide early warning to ISLC		R			C
13C. Post process to CellSite	R				
13D. Provide early warning to IS management	D	R			C
13E. Provide early warning to staff	F			R	
13F. Communicate to all IS	D	R			
13G. Confirm the message		F	R		
13H. Train impacted audiences	R				
13I. Send the "Now in effect" message to all IS	D	R			
13J. Review process at staff meetings	F	C		R	C
13K. Monitor the rollout of the process					R

Responsibility Codes

R – Primary Responsibility
D – Discuss, Consult, Provide input to
A – Agree to
C – Copy (kept informed)
S – Sign off, Formally Approve
F – Facilitate

Sub-Process Narrative

13A. Draft communications

Draft all communications documents needed to support the rollout.

For low-impact changes, this includes:

• The official process change Announcement (see template and examples). This template will be used for both steps 13F and 13I. If training will be provided, this announcement would include scheduling and enrollment information.

The Announcement template has this structure:

Process Announcement

Audience: <Audience>

Background	
Change Description	
How This Impacts You	
Actions Requested	
Questions	
Attachments / Links	

• A FAQs document used to prepare managers for anticipated questions they may receive. This will be used in steps 13D/E.

For major changes, the communications would also include:

• The training materials (see training template) which will be used in step 13H.

• A prototype confirmation message that might be used in step 13G as a starting point for the appropriate ISLC member to edit and send.

13B. Provide early warning to ISLC

Provide the appropriate communications developed in step 13A to the ISLC to provide them an early warning and to obtain their feedback. For major changes, the process owner will very likely present these documents in person at one of their meetings.

13C. Post process to CellSite

Move any documents and processes to the intranet. Make sure that the "Process Central" indexes are updated as necessary. (In some circumstances, you may want to update only CellTest at this point, and update CellSite later, perhaps after step 13H.)

This step should usually be completed before step 13D, so that the web site is available to associates whenever the managers warn their staffs in step 13E.

13D. Provide early warning to IS management

Communicate the process changes and rollout plans to IS management, so they are aware of their role in supporting the change, and the impact on their teams. Provide them with copies of all planned communications to associates. Include the FAQs document so they can be prepared to answer questions they may receive.

13E. Provide early warning to staff

IS management is responsible to meet with their teams and communicate the pending change with enough lead time for the associates to prepare as necessary.

13F. Communicate to all IS

The official Announcement (likely an "email blast") is sent out regarding the process change. For low-impact changes, the Announcement is the "Now in Effect" notice and completes the rollout process; for larger changes, this Announcement communicates the training and implementation dates.

13G. Confirm the message

The appropriate member of the ISLC will re-confirm the communication sent in step 13F. This will underscore the criticality of the process change, the training, and the compliance on the part of associates.

13H. Train impacted audiences

Training will be conducted for all impacted audiences. See the training template.

13I. Send the "Now in effect" message to all IS

After the training is complete, and it is time for the process change to go live, a "Now in Effect" message will be sent. This "email blast" will use the standard Announcement template.

13J. Review process at staff meetings

IS management is responsible to meet with their teams and discuss the change now that it is in effect. They will ensure that their team is following the process, and will solicit feedback on the process and its deployment effectiveness. This feedback will be forwarded to the Process Owner.

13K. Monitor the rollout of the process

As members of management and as associates, PLT members will monitor the communications they receive and compare it to what they expect, given that they know which processes changes are expected.

Deliverables Matrix

Step	Deliverable	Preparer	Link	Review Process
13A	Communications Principles for Process Rollout	NA	App. 7	NA
	Announcement	Auth. Team	App. 8	Process Owner agrees to
	FAQ's	Auth. Team	App. 9	Process Owner agrees to
	Process Training	Auth. Team	App. 10	Process Owner agrees to
	Confirmation Message	Auth. Team	App. 11	Process Owner agrees to; ISLC member performs final edit
13C	Process Posted on CellSite	Auth. Team	(See)	ISS&P review

Appendix 1: PLT Engagement Request

The PLT Engagement Request form is included here (double-click to open):

Form:

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Instructions:

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Example:

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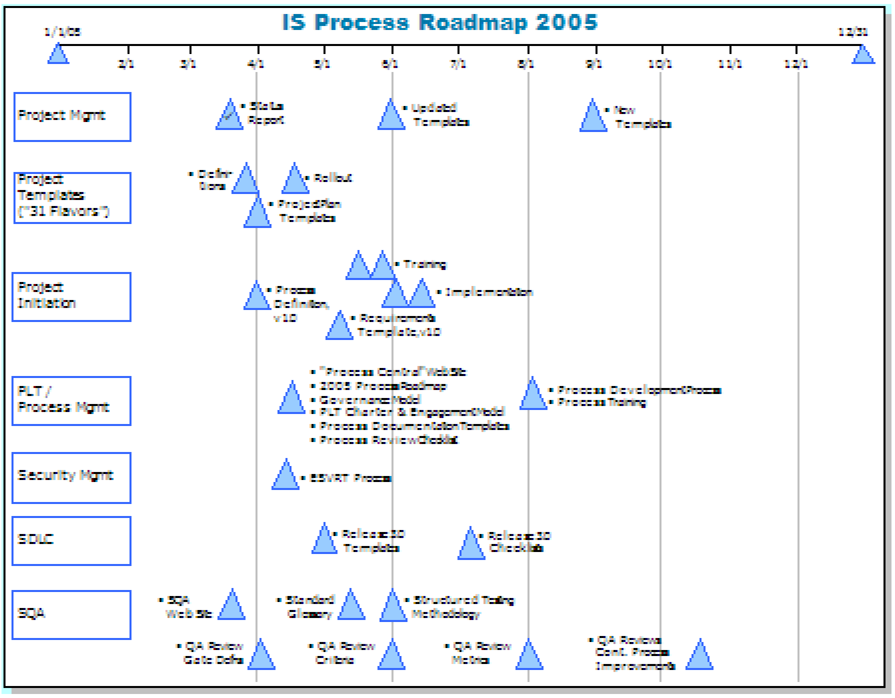
Appendix 2: IS Process Roadmap

The current Process Roadmap will be found on CellSite, linked to from “Process Central”. It may resemble this:



Appendix 3: Project Plan

How you plan the project for your process development initiative depends on a number of factors, both relative to the process itself, and the skills of your team. The following document presents 3 approaches that you may want to consider as you plan your approach. The 3 models are:

- Six Sigma’s DMAIC
- SEI-CMM’s Ideal Model
- The “Process for Process Improvement” (Dattoli)

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Appendix 4: IS Process Documentation Template

The standard IS Process Documentation template is here:

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An overview on using this template is shown on the last page of the template. An example of this template is this “PLT Engagement Model” document.

Appendix 5: PLT Review Checklist

Process Portfolio	1	Has this process been aligned with other active process teams?
	2	Has the timing of this process change been negotiated with the PLT?
Process Documentation	3	Is the process document as agile or "as light as possible"?
	4	Does it use a high-level swim-lane diagram?
	5	Does it use graphics to support all complex ideas?
	6	Is some form of RACI chart used to define responsibilities?
	7	Are bullets preferred over paragraphs?
	8	Is automation of process steps used where possible?
	9	Are all the documents and related components easy to maintain?
	10	Is the process designed for online, CellSite access?
Process Development Process	11	Is a process owner clearly identified?
	12	Was the process owner engaged with the development process?
	13	Did appropriate SME's drive the development of the process?
	14	Has coaching & support been available during development?
	15	Have the standard process documentation templates been used?
Gates & Reviews	16	Have all audiences of the process been clearly identified?
	17	Have reps from each type of audience reviewed the process?
	18	Have all related teams impacted by the process been identified?
	19	Have these related teams reviewed the process?
	20	Have reviews been early & frequent enough in the development process?
	21	Has the process been reviewed by an independent source, e.g. PLT?
Centralized Access	22	Is the document posted on CellSite?
	23	Does it share a common look and feel with other CellSite processes?
	24	Is the process linked to from the “Process Central” index?
	25	Are there multiple links based on differing uses if needed?
Formal Implementation	26	Has a formal implementation plan been created and followed?
	27	Has the process been announced via a formal, authorized channel?
	28	Was all needed training or tutorial materials delivered?
	29	Was any needed support of the process made available?
	30	Was a detailed follow-up plan delivered to the process owner?

Appendix 6: Rollout Plan

Form:

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Example:

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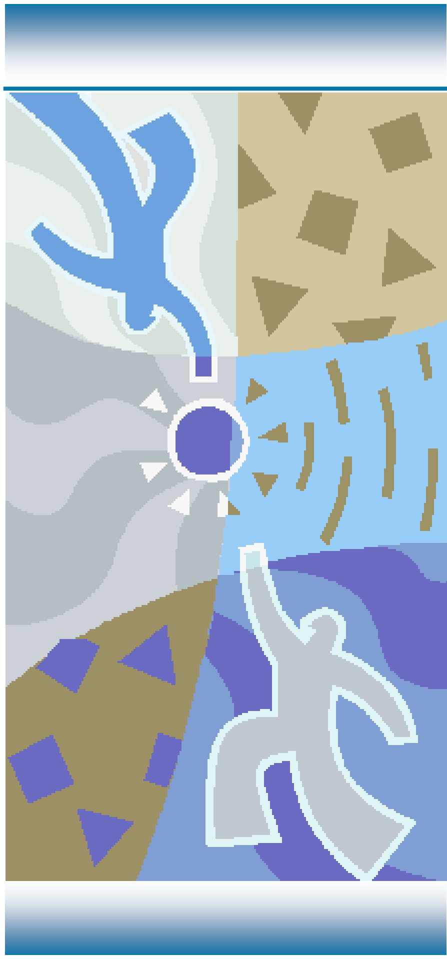

Process Leadership Team

Communication Principles for Deploying Process Changes within IS

Objectives:

To ensure that IS associates receive timely and relevant communications that prepare them for upcoming process changes.

To ensure that the type and amount of process changes are deployed at a rate which maximizes absorption by the end user associate.

Communication Guiding Principles

for successfully deploying a process change within IS

Communicate early, often, and consistently!

Sample One-way communication:

- Email
- Web page
- Newsletter
- Voicemail

Sample Two-way Communication:

- Meetings
- Presentations
- Training sessions
- Brown bag" sessions
- One-on-ones

LIFECYCLES

- The **process *development* process** follows the standard phases of development:
  - **assess - design - develop - deploy - internalize/continuously improve**
- The **process *communications* process** builds commitment over time:
  - **awareness - understanding - buy-in - commitment**

PURPOSE OF COMMUNICATIONS

- The goal of communications is to make the "why's", the "what's", and the "how's" understood by the impacted audience.
- Sell the purpose for the process change.
  - Explain the "why's". If the why's aren't clear to you, your associates won't understand the rationale for the change either. Link each process change to a benefit for operational effectiveness – either at the team, department, or organizational level.
  - Develop simple, clear, upbeat messages that stress the benefits

COMMUNICATIONS APPROACH

- Communicate early, often, accurately
  - Give management enough time to absorb the change & support their staff
  - Give associates enough time to adjust to the changes
- Use a variety of mediums (face to face, email, team meetings, etc).
  - Balance the typical communications vehicles with innovative ways to capture attention
- Do not assume people understand the process change the first time they hear it.
- Plan to celebrate successes

ELICITING FEEDBACK

- Use consistent messages regarding the why's and the benefits. Be clear on the intended impact on the end user associate.
- Provide end user associates with a clear channel for feedback. Make this channel available as soon as the process change need is communicated through the deployment and maintenance of the process.
- If the process change is large, consider using a pilot to test the impact on IS associates before doing a full rollout.

AUDIENCE CUSTOMIZATION

- Develop messages that are appropriate for each audience group
- Recognize that large teams and small teams may experience the process change differently. Be prepared to discuss these impacts and how management is going to support the changes.

PERMANENT DOCUMENTATION

- Permanently document those communications, such as announcements of policies, that may be required for SOX or other audit reasons.
- Link all process documentation to the "Process Central" web site, and make sure that all communications direct associates to it.

Appendix 8: Announcement Template

Template:

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Examples:

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Appendix 9: FAQ’s Template

Template:

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Appendix 10: Process Training Template

PowerPoint Template:

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Appendix 11: Confirmation Message Examples

Examples:

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